

NCR Planning Board
Asian Development Bank

Capacity Development of the National Capital Region Planning Board (NCRPB) – Component B (TA No. 7055-IND)

FINAL REPORT

Volume: RESETTLEMENT PLAN FOR DRAINAGE SYSTEM OF
HAPUR TOWN

July 2010



Abbreviations

ADB	:	Asian Development Bank
AF	:	Affected Family
AP	:	Affected Person
BPL	:	Below Poverty Line
BSR	:	Basic Schedule of Rates
CPR	:	Common Property Resource
DPR	:	Detailed Project Report
EA	:	Executing Agency
FGD	:	Focus Group Discussions
GoI	:	Government of India
GRC	:	Grievance Redressal Committee
GDA	:	Ghaziabad development Authority
GNN	:	Ghaziabad Nagar Nigam
HH	:	Household
HOH	:	Head of Household
INR	:	Indian National Rupee
IP	:	Indigenous Peoples
IO	:	Implementing Organisations
IA	:	Implementing Agency
IPSA	:	Initial Poverty & Social Assessment
LA	:	Land Acquisition
LTH	:	Legal Title Holder
NCRPB	:	National Capital Region Planning Board
NGO	:	Non-Government Organizations
NPRR	:	National Policy on Resettlement & Rehabilitation
PMU	:	Project Management Unit
PRA	:	Participatory Rural Appraisal
R&R	:	Resettlement & Rehabilitation
ROW	:	Right of Way
RO	:	Resettlement Officer
RP	:	Resettlement Plan
SC	:	Schedule Caste
ST	:	Schedule Tribe
TORs	:	Terms of Reference
WHH	:	Women Headed Household

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Glossary

<i>Affected Person (or Household)</i>	People (households) affected by project-related changes in use of land, water, forest, grazing land, or other natural resources
<i>Compensation</i>	Payment in cash or kind to which the people affected are entitled in order to replace the lost asset, resource or income
<i>Entitlement</i>	Range of measures comprising compensation, income restoration, transfer assistance, income substitution, and relocation which are due to the affected persons, depending on the nature of their losses, to restore their economic and social base to pre-project situation
<i>Grievance Redress Committee</i>	The committee formed to resolve grievances of the project affected persons/families/communities.
<i>Involuntary Resettlement</i>	Development project results in unavoidable resettlement losses that people affected have no option but to rebuild their lives, incomes, and asset bases elsewhere.
<i>Land Acquisition</i>	It is the process whereby land and properties of individuals/community are acquired for the purpose of project construction
<i>Relocation</i>	Rebuilding housing, assets, including productive land, and public infrastructure in another location
<i>Rehabilitation</i>	Re-establishing incomes, livelihoods, living and social system
<i>Replacement rate</i>	Cost of replacing lost assets and incomes, including cost of transactions
<i>Resettlement effects</i>	Loss of physical and non-physical assets, including homes, communities, productive land, income-earning assets and sources, subsistence, resources, cultural sites, social structures, networks and ties, cultural identity and mutual help mechanisms
<i>Resettlement Plan</i>	A time-bound action plan with budget setting out resettlement strategy, objectives, entitlement, actions, responsibilities, monitoring and evaluation
<i>Vulnerable groups</i>	Distinct groups of people who might suffer disproportionately from resettlement effects.

Source: ADB's Handbook on Resettlement: A Guide to Good Practice, 1998

EXECUTIVE SUMMARY

1. *Description of the Project.* On Government of India's request, Asian Development Bank (ADB) has formulated the technical assistance (TA) to enhance the capacities of National Capital Region Planning Board and its associated implementing agencies. The TA has been designed in three components. Component B relates to improving the capacity of the implementing agencies in project identification, feasibility studies and preparing detailed engineering design(DPR) of sub projects(water supply, sewerage, drainage etc.) for selected NCR towns. One of the sub projects is DPR preparation of improvement of drainage of Hapur town. Due to improper maintenance of the drains and encroachment on ROW of the drains, their water carrying capacities have been reduced considerably and they have also become places of dumping garbage and discharging sewage by people living near by. The reduction in channel section, due to dumping of garbage and silting has reduced the discharge capacity on down stream side. Further, in absence of regular cleaning and desilting, the drainage channel has been filled up to a considerable depth rendering acute flooding problem of adjoining areas. As per Drainage Master Plan about 628,302 populations by 2041 of Hapur Municipality & the added areas of Hapur Palkhua Development Authority would benefit from the subproject.
2. *Objectives of the Short Resettlement Plan.* The survey and assessment undertaken during preparation of the subproject indicates that the subproject will entail some degree of resettlement impact and this SRP has been prepared in accordance with ADB's Policy on Involuntary Resettlement(Safeguard Policy Statement,2009) to address those impacts. This short RP identifies the broad scope of the subproject and outlines the policy, procedures for acquisition of land (if required), compensation and other assistance measures for affected persons and institutional requirements for implementation of RP.
3. *Scope of Land Acquisition & Resettlement.* The width of the existing drain number 2 restricts between chainage 3750 mts and 3900 mts. The most critical area is between the chainage 3750 mts and 3900 mts. In between the chainage (3750 mts and 3900 mts) the available width of the drain varies between 1.72 mts to 1.8 mts. However with a requirement of at-least a width of 2 m. as per engineering feasibility, it has been found that between chainage 3750 and 3900 the land for the drainage has been encroached partially by the side wall of the pucca houses / walls impacting upon 04 Project Affected Households/APs. A census and socio-economic survey was undertaken in the chainage between 3750 and 3900 locations. An estimated 04 households will be affected and there is no Common Property Resource (CPR) will be affected by the subproject. All 04 surveyed households are encroacher. They encroached partially the original width of the drainage land.
4. *Socioeconomic Information and Profile.* All the 04 structures/houses are residential in nature and no commercial activities were observed within the closed structures. No encroachers are found to be residing or carrying out any productive occupation in the portion of the encroached land or from the affected houses identified for the purpose of physical improvement of the drain. Hence no relocation assistance or income loss assistance has been considered for the encroachers. Since, all the plots have been

considered as unproductive and do not support any livelihood, assistance for loss of income has not been considered in the entitlement matrix prepared for the subproject. So far as status of ownership of the affected property is concerned 04 families are the owner of the houses according to the property record. There are no tenants either occupying the land or recorded in the property document. There is 1 vulnerable households found from the survey.

5. *Information Disclosure and Consultation.* In the course of initial poverty and social assessment, participatory discussion was held with the people around the influence area by means of Focus Group Discussions (FGD). These were held separately with local people, including the youths & the women. Due consideration was given for Stakeholder consultations with the APs at different levels of RP preparation. The discussion was initiated with the help of structured questionnaires to share information on the proposed project, their needs and perception for a better urban service and to have their opinion and views about the project & its envisaged benefit to the people. The short RP will be translated in Hindi and will be made available to the affected people by the Executing Agency (EA) for review and comments on the policy and mitigation measures, particularly the compensation package, by means of subproject-level Disclosure workshops prior to loan negotiation. Copies of the short RP will also be made available at the local level public offices such as municipality and HPDA, to the stakeholders for local inputs prior to award of civil work contract. The proceedings of the disclosure workshop and the feedback received will be sent to ADB for review. The final RP will also be disclosed on the ADB Website and NCRPB website.

6. *Resettlement Principles and Policy Framework.* A detailed socio-economic survey was carried out during the census operation in September, 2009 in the affected portion of the drain and at the residences of the Affected Persons (AP) as per their convenience. The survey was carried out between 12 and 20 September 2009, these dates may be considered, as “Cut-off date” for payment of compensation and resettlement assistance for the encroachers. The RP is based on the general findings of the census, socio-economic survey, observation during field visits, and participatory consultation meetings with various groups including the affected persons in the subproject area. Compensation and resettlement assistance for various types of loss have been determined following the provision made in the resettlement framework of NCRPB. In general, the persons affected by the Sub-Project will be entitled to the following types of compensation and assistance - (i) Compensation for loss of structure at replacement cost,(ii) Transfer grant for temporary shift of residence,(iii) Rental Assistance for 3 months and (iv) assistance for vulnerability Since the potential impact is on residential houses, chances of loss of income or potential impact on the livelihood of any of the APs is not envisaged; and the resettlement assistance for this purposes is not required. NCRPB and IA will use the RP as a planning tool, verify and update the inventory prior to implementation of the project, and provide ID cards to the entitled affected persons for compensation and resettlement purposes. The principles applicable in defining the entitlements and compensation packages for the affected households shall remain unchanged.

7. *Gender Impacts and Mitigation Measures.* Although the sub-project will not cause any specific gender issue and is neither focused particularly on women, implementation of drainage improvement system will have indirect positive impact on women’s health. The

overall improvement in a clean urban environment is envisaged outcome of the proposed sub project. Diseases related to untreated sewerage disposal into the river and natural water bodies will also be reduced substantially. As a result, impact of a general healthy life will be manifested among average urban household, especially the low income group families. The women will be benefited in more than one way. As they devote time for looking after the sick members in the family, including the children, reduction in the incidence of diseases will enable them utilize their time and leisure more effectively. Improvement on health status will increase the number of working days for the employed women.

8. *Information Disclosure and Consultation.* In the course of initial poverty and social assessment, participatory discussion was held with the people around the influence area by means of Focus Group Discussions (FGD). These were held separately with local people, including the youths & the women. Due consideration was given for Stakeholder consultations with the APs at different levels of RP preparation. The discussion was initiated with the help of structured questionnaires to share information on the proposed project, their needs and perception for a better urban service and to have their opinion and views about the project & its envisaged benefit to the people. The short RP will be translated in Hindi and will be made available to the affected people by the Executing Agency (EA) for review and comments on the policy and mitigation measures, particularly the compensation package, by means of subproject-level Disclosure workshops prior to loan negotiation. Copies of the short RP will also be made available at the local level public offices such as municipality and HPDA, to the stakeholders for local inputs prior to award of civil work contract. The proceedings of the disclosure workshop and the feedback received will be sent to ADB for review. The final RP will also be disclosed on the ADB Website and NCRPB website.
9. *Institutional Arrangements, and Implementation Schedule .* National Capital Planning Board (NCRPB) will be the Executing Agency (EA) for the Project. The Hapur Nagar Parishad and HPDA would jointly act as implementing agency (IA). A separate independent unit in EAs office will constitute for the purpose of over all coordination and management of the project and it will be called as The Project Management Unit (PMU) will also implement the RP with assistance of Design & Supervision Consultants (DSC) & an experienced NGO/agency/institution, acting as Implementing Organisation (IO) who will shoulder the primary responsibility of the RP implementation. The PMU would ensure monitoring any changes to subproject design which may require re-evaluation of the need for and adequacy of the RP. If necessary, RP will be updated keeping changed design in view while entitlement principle remaining unchanged. The PMU will ensure resettlement budgets are delivered on time for timely RP implementation, prior to commencement of construction work. In addition, establishment of a High Powered Committee (HPC) to supervise pre-construction activities including implementation of RP under ADB assisted project is proposed.
10. *Grievance Redress Mechanism.* A Grievance Redressal Committee (GRC) will be established in Hapur for timely and satisfactory completion of RP related activities and other requirements of the Resettlement Plan (RP) to facilitate satisfactory implementation of all ADB funded projects. The primary objective of creating GRC is to provide a mechanism in order to address and sort out all disputes related to implementation of

resettlement plan, most importantly, to mediate conflict and disputes concerning compensation payments and cut down on lengthy litigation.

11. *Resettlement Budget.* The total estimated budget for implementation of Resettlement Plan (RP) including payment of compensation and assistance to the entitled AP, preparation of identity card, cost of resettlement operation and management for the Project through Implementing Agency and engaging Independent Monitor is INR Rs 2.1 Million. The RP will be proposed to be implemented within 16 months time before the deployment of civil works contractor.
12. *Training, Monitoring & Evaluation.* The RP will have both internal and external monitoring. Internal Monitoring will be a regular activity for PMU, Social development & Resettlement specialist and will oversee the timely implementation of R&R activities.

1. SHORT RESETTLEMENT PLAN

A. Description of the Project

13. On Government of India's request, Asian Development Bank (ADB) has formulated the technical assistance (TA) to enhance the capacities of National Capital Region Planning Board and its associated implementing agencies. The TA has been designed in three components: Component A relates to improving the business processes in NCRPB; Component B relates to improving the capacity of the implementing agencies in project identification, feasibility studies and preparing detailed engineering design; and Component C relates to urban planning and other activities. As part of the Component B several DPRs of different subprojects have been prepared for NCR towns.
14. One of the sub projects is DPR preparation of improvement of drainage of Hapur town. In keeping with ADB's Policy on Involuntary Resettlement, this Short Resettlement Plan (SRP) has been prepared for the Subproject: Drainage component of Hapur town. Due to unplanned growth of population, the major drain flowing through the town have been encroached upon, thus the rain water overflows on the roads causing flooding of residential colonies located on the sides of natural drains. Due to improper maintenance of the drains and encroachment on ROW of the drains, their water carrying capacities have been reduced considerably and they have also become places of dumping garbage and discharging sewage by people living near by. The reduction in channel section, due to dumping of garbage and silting has reduced the discharge capacity on downstream side. Further, in absence of regular cleaning and desilting, the drainage channel has been filled up to a considerable depth rendering acute flooding problem of adjoining areas.
15. The objectives of the subproject are:(i) providing a comprehensive description and mapping of the town storm drain system (trunk and main drains only) including unlined channels and ditches; (ii) updating the town base map to show locations of public storm drains and facilities, including their size, material of construction, and flow directions; (iii) analyzing rainfall data collected over a period of 22 years, including development of intensity duration frequency (IDF) curves for different storm frequency periods; (iv) doing a critical evaluation of the storm drainage and channel systems in order to identify existing and future deficiencies; and (v) design and estimation for rehabilitation and de-silting of existing drains detail design and estimates of the new proposed drains.
16. As per Drainage Master Plan about 628,302 populations by 2041 of Hapur Municipality & the added areas of Hapur Pilakhua Development Authority would benefit from the subproject. Hapur being a renowned trade and commerce centre majority of the families earn their living from business, trade and commerce. Better urban environment and civic infrastructure will facilitate planned urban development and overall socio-economic development. At present there are four major drains flowing through the master plan area of the Hapur viz Drain No1, Drain No 2 (Choya nallah), Drain No 3 (Circular road drain) and Drain No 4 (Delhi Garh road drain). Of these, three drains (Drain No 2, 3 & 4) flow

through the municipal boundary of the town. Further the Drain no 4 flows into the Drain No 2. All the drains ultimately flow into the Kali River, which is at the south of the town. Drain No 1 and Choya Nallah converge at Rampur road near Haddi meel and flow in to the Kali River. The open surface drains serve as a combined system for both sewage and storm runoff. The sewage is finally discharged to river kali, leading to incidence of water borne diseases among the low income group families. The subproject will indirectly improve the river water quality also.

17. The survey and assessment undertaken during preparation of the subproject indicates that the subproject will entail some degree of resettlement impact and this SRP has been prepared in accordance with ADB's Policy on Involuntary Resettlement to address those impacts. This short RP identifies the broad scope of the subproject and outlines the policy, procedures for acquisition of land (if required), compensation and other assistance measures for affected persons and institutional requirements for implementation of RP.

B. Scope of Land Acquisition & Involuntary Resettlement Impacts

18. The width of the existing drain number 2 restricts between chainage 3750 mts and 4150 mts. The engineering drawing of existing situation of the width of the drain has been shown in **Appendix 1**. The most critical area is between the chainage 3750 mts and 3900 mts. In between the chainage (3750 mts and 3900mts) the available width of the drain varies between 1.72 mts to 1.8 mts. However with a requirement of at-least a width of 2 m. as per engineering feasibility, it has been found that between chainage 3750 and 3900 the land for the drainage has been encroached partially by the side wall of the pucca houses / walls impacting upon 04 Project Affected Households/APs.
19. A census and socio-economic survey was undertaken in the chainage between 3750 and 3900 locations. An estimated 04 households/APs will be affected and no Common Property Resource (CPR) will be affected by the subproject. All 04 households are encroacher. They encroached partially the original width of the drainage land. The number of total affected population as derived from the 04 surveyed households is 26, thereby making the average family size as 6.50. A list of Affected Households/families is annexed as **Appendix 2**.

Table 1 : Status of Census & Socio-economic Survey

S. No	Details	No.
1.	Total Affected Household	4
2.	Common Property Resource (CPR)	Nil
3.	Total household surveyed	04
4.	Total Affected Person	26

Source: Census & Socio-economic survey, September, 2009

20. All the 04 structures/houses are residential in nature and no commercial activities were observed within the closed structures. No encroachers are found to be residing or carrying out any productive occupation in the portion of the encroached land or from the affected houses identified for the purpose of physical improvement of the drain. Hence no relocation assistance or income loss assistance has been considered for the encroachers.

Since, all the plots have been considered as unproductive and do not support any livelihood, assistance for loss of income has not been considered in the entitlement matrix prepared for the subproject. The Table 2 below provides a summary of affected households and type of loss.

Table 2 : Affected Assets in the Subproject

S. No	Type of Loss	Affected Asset
1	Structure	04
2	Land- Private	NIL
3	CPR	NIL
4	Trees etc	NIL
5	Any other immovable assets	NIL

Source: Census & Socio-economic survey, September, 2009

21. The Resettlement Framework prepared for NCRPB classifies several groups of population as socially “vulnerable” and has provided special assistance for them. The Vulnerable groups are: (a) those who are below the poverty line (BPL); (b) those who belong to scheduled castes (SC), scheduled tribes (ST); (c) female-headed households (FHH); (d) elderly and (e) disabled persons. There is one vulnerable person among the affected families/households.

C. Socio-Economic Profile of the Affected Households

22. A detailed socio-economic survey was carried out during the census operation in September, 2009 in the affected portion of the drain and at the residences of the Affected Persons (AP) as per their convenience. Table 1 shows briefly the status of census and socio-economic survey carried out in September, 2009. **Table 3** provides a brief socio-economic profile of the affected persons. As the survey was carried out between 12 and 20 September 2009, this may be considered as Cut-off date for the encroacher.

Table 3 : Summary Profile of the Affected Households

Characteristics	Units
Total Affected Households	04
Total Affected Persons	26
Average Family Size of Affected Households	6.5
Total No. of Scheduled Caste HH/Vulnerable	01
Total No. of Encroacher	04
Main Occupation of the Affected Persons	Skilled labour and Private Service
Average Annual Household Income in Rs.	76,529

Source: Census & Socio-economic survey, September, 2009

23. So far as status of ownership of the affected property is concerned 04 families are owner of the houses according to the property record. There are no tenants either occupying the land or recorded in the property document.

Table 4 : Ownership Details of Affected Households

Sl.	Type of loss	Title	Non Title holders		
			Tenant	Encroacher	Squatter
1	Land & Structure	NIL	Nil	Nil	Nil
4	Structure only	04	Nil	Nil	Nil

Source: Census & Socio-economic survey, September, 2009

24. Based on the data of the 04 surveyed households, social stratification of the affected households can be ascertained **Table 5**. Of the total affected households all are belongs to Hindu community. The majority of the affected households, 1 in number, are of nuclear family type while 03 are joint families. The predominant family size is “large” with more than 5 persons, accounting for 75 %. The average family size is 6.5, as stated earlier. The proportion of “small” families, with members 4-5, is about 25 %. There are 03 number of families belonging to Schedule Caste are falling under “Vulnerable Group”.

Table 5 : Social Stratification details of Affected Households

Sl.	Criteria	Classification	No. of AFs
1.	Community	Other Community	0
		Muslim	NIL
		Hindu	04
2.	Family Type	Joint	03
		Nuclear	01
3.	Family Size	Upto 3	00
		4-5	01
		More than 5	03
4.	Vulnerable Category	Schedule Caste	03

Source: Census & Socio-economic survey, September, 2009

25. Literacy status among the affected families is not much encouraging, to say the least, as per information collected during census (Table 6). The majority of the APs, comprising about 72 %, are educated up to middle and secondary level, which may be fallout of disquiet situation in the region. Nearly 11 % of the affected population are illiterate. The percentage of affected population falling in the category of informally literate is 5.56 percent.

Table 6 : Educational Structure (Age more than 6)

S. No	Occupation	No. of Person	%
1.	Illiterate	2	11.11
2.	Informally Literate	1	5.56
3.	Primary (Class IV)	3	16.67
4.	Middle (Class VIII)	4	22.22
5.	Secondary (Class X)	6	33.33
6.	Intermediate (Class XII)	2	11.11
7.	Graduate and above	-	-
	Total*	18	100.00%

Source: Census & Socio-economic survey, September, 2009

26. The proportion of the working population among the APs is 72.32%. So far as occupational structure is concerned, about half of the work force (75.00%) **Table 7** has daily skilled labour as their livelihood. While 12.50 % of the APs earn as professionals of various nature as private service, only 1 APs is employed in government service. Only one person is engaged in trade and business. The occupational pursuit of the affected persons shows a major dependence on the secondary sector of the employment source mainly carpenter, vendor, mechanic, helper to a shopkeeper/industrialist.

Table 7 : Occupation Structure (Age more than 18 yrs.)

S. No	Occupation	No. of Person	%
1.	Government Service	1	6.25
2.	Private Service	2	12.5
3.	Cultivation	0	-
4.	Professional	0	-
5.	Trade & Business	1	6.25
6.	Skilled Labour	12	75.00
7.	Unemployed	0	-
8.	Retired	0	=
	Total	16	100.00

Source: Census & Socio-economic survey, September, 2009

27. It is evident from the data on annual household income of 04 APs, that none of them belong to Below Poverty Line **Table 8**. The proportion of families with annual income of Rs. 50000-100,000 & above is the highest, about 75 %. Only 1 family has an annual income of Rs. 1,00,000 and above. The average annual household income of the affected families has been calculated as Rs.76,529.

Table 8 : Annual Income Pattern of AFs

Sl.	Total Household Income (per annum)	Affected Household	
		No.	% to total
1.	Below Rs. 25,000	-	-
2.	Rs. 25,000 - 50,000	3	75.00
3.	Rs. 50,000 - 1,00,000	1	25.00
4.	Rs. 1,00,000 and above	4	100.00

Source: Census & Socio-economic survey, September, 2009

28. Appropriate compensation and assistance will be provided to the Affected Persons, all of whom are encroachers, according to ADB's policy on Involuntary Resettlement.

D. Objectives of the Short Resettlement Plan

29. This Short Resettlement Plan (SRP) is prepared to mitigate resettlement impact, which is unavoidable for implementation of the drainage subproject. The RP has been prepared based on census and socio-economic survey that was carried out considering outcome of the preliminary engineering and technical design and topographic survey. The objective of the RP is: i) to identify the project impact on the people in terms of loss of assets, livelihood & income, ii) to outline measures for mitigating adverse impact and iii) to

provide an estimate for budgetary allocation for compensation of loss of assets and resettlement benefits, according to principles and guidelines provided in the Entitlement Matrix prepared for the Sub Project based on RF of NCRPB.

E. Gender Impacts & Mitigation Measures

30. During the course of the initial social assessment particular emphasis was given to appraise the present status and needs of the women in the subproject area and the potential impact of the Project on them by means of conducting series of Focus Group Discussion (FGD) with women belonging to various socio-economic groups, as well as of affected families. Like other people in the project area the women too were unaware about the proposed subproject, its benefit, etc. The FGD session held with them provided a platform to disseminate information on impact of improved drainage system vis-à-vis environmental health condition. It also helped to highlight the benefit likely to be brought about by the project.
31. Although the sub-project will not cause any specific gender issue and is neither focused particularly on women, implementation of drainage improvement system will have indirect positive impact on women's health. The overall improvement in a clean urban environment is envisaged outcome of the proposed sub project. Diseases related to untreated sewerage disposal into the river and natural water bodies will also be reduced substantially. As a result, impact of a general healthy life will be manifested among average urban household, especially the low income group families. The women will be benefited in more than one way. As they devote time for looking after the sick members in the family, including the children, reduction in the incidence of diseases will enable them utilize their time and leisure more effectively. Improvement on health status will increase the number of working days for the employed women.

F. Resettlement Principles and policy Framework

32. In India, compensation for land acquisition and resettlement assistance for project affected people are governed by the Land Acquisition Act (1894), which has been amended from time to time. The resettlement principles adopted for this subproject recognize the State Land Acquisition (LA) Act 1894 and the entitlement benefits as listed in the National Policy on R&R, (Government of India) and the relevant Asian Development Bank's (ADB) policies and operations manuals, in particular the Safeguard Policy Statement (2009), and Operations Manual F2 on Involuntary Resettlement (2003).
33. The RP is based on the general findings of the census, socio-economic survey, observation during field visits, and participatory consultation meetings with various groups including the affected persons in the subproject area. The census was carried out during the period from 12 - 20 September, 2009. Compensation and resettlement assistance for various types of loss have been determined following the provision made in the resettlement framework of NCRPB. In general, the people affected by the Sub-Project will be entitled to the following types of compensation and assistance -(i) Compensation for loss of structure at replacement cost,(ii) Transfer grant for temporary shift of residence,(iii) Rental Assistance for 3 months and (iv) assistance for vulnerability. Since the potential impact is on

residential houses, chances of loss of income or potential impacts on the livelihood of any of the APs is not envisaged; and the resettlement assistance for this purposes is not required.

34. NCRPB and IA will use the RP as a planning tool, verify and update the inventory prior to implementation of the project, and provide ID cards to the entitled affected persons for compensation and resettlement purposes. The principles applicable in defining the entitlements and compensation packages for the affected households shall remain unchanged. A detailed Entitlement Matrix for the subproject is provided in **Table 9**

Table 9 : Entitlement Matrix

S. No.	Type of Loss	Unit of Entitlement	Entitlement	Details
A. Loss of Land & Assets				
1.	Loss of Land	Titleholder	Compensation at Market/ Replacement value	Land-for-land will be made available to the affected household, wherever feasible or cash compensation at market replacement value ¹ if required; APs will be explained the process and their views will be taken into consideration, while determining the replacement value. No encroacher will be paid compensation for land.
B. Loss of Structure				
2.	Loss of structure	Owner of affected structure	Compensation at replacement cost	AP, the owner of the structure on encroached land, will be provided replacement value of the residential structure, which will be calculated as per the latest prevailing basic schedule of rates (BSR) without depreciation. Right to salvage material from demolished structure.
C. Loss of Trees				
3.	Loss of pole & firewood trees	Owner of the affected trees	Compensation at market value	Compensation for loss of timber/firewood trees at current market value of wood/timber or firewood depending on the kind of tree.
D. Loss of Common Property Resource				
4.	Loss of Religious structure, School etc.	Affected community/Institution responsible	Cash compensation	a) Cash compensation at replacement value
E. Rehabilitation Assistance				
5.	Loss of structure	Owner of affected structure	grant	a) One time transfer grants of Rs.5000/ structure owner.

¹ A High Powered Committee will be established under the Project, if land acquisition is required due to change in project design. This committee will be responsible to make independent valuation of land based on existing market value. The Committee will also undertake direct negotiation for settlement of compensation with the APs, wherever required as per the provision of the Uttar Pradesh Land Acquisition (Determination of Compensation and Declaration of Award by Agreement) Rules, 1997.

S. No.	Type of Loss	Unit of Entitlement	Entitlement	Details
				b) Rental Assistance for 3 months @ Rs. 3000/ month.
F. Vulnerability Assistance				
6.	Loss of structure	Vulnerable Owner of affected structure	grant	a) One time vulnerable grants of Rs.25000/ structure owner.
7.	Any unanticipated adverse impact due to project intervention	Any unanticipated consequence of the subproject will be documented and mitigated according to the resettlement framework of NCRPB.		

G. Stakeholder Participation and Disclosure of RP

35. In the course of initial poverty and social assessment, participatory discussion was held with the people around the influence area by means of Focus Group Discussions (FGD). These were held separately with local people, including the youths & the women. Due consideration was given for Stakeholder consultations with the APs at different levels of RP preparation. The discussion was initiated with the help of structured questionnaires to share information on the proposed project, their needs and perception for a better urban service and to have their opinion and views about the project & its envisaged benefit to the people. It was evident that the people are aware of the benefit of the improved drainage condition of city.
36. The local people/encroachers perceive the threat of eviction for the encroached area of the drain. When the ADB policy on compensation was explained to them the affected families suggested that the back side wall of the building may be removed to release the encroached area for the purpose of increasing the width of the drain. The suggestion was discussed at greater length by the engineering team and found feasible by way of re-erecting a parallel wall to the current wall which has been encroached in the drain land. The people welcomed the solution as there is no eviction/displacement possibility and more over the proposed project will provide the replacement cost of the wall through which they can rebuild the wall. A summary report on Stakeholder consultation and photographs of the consultations is annexed (**Appendix 3**).
37. The short RP will be translated in Hindi and will be made available to the affected people by the Executing Agency (EA) for review and comments on the policy and mitigation measures, particularly the compensation package, by means of subproject-level Disclosure workshops prior to loan negotiation. Copies of the short RP will also be made available at the local level public offices such as municipality and HPDA, to the stakeholders for local inputs prior to award of civil work contract. The proceedings of the disclosure workshop and the feedback received will be sent to ADB for review. The final RP will also be disclosed on the ADB Website and NCRPB website. In addition, a Public Consultation and Disclosure Plan have been prepared for the subproject and is enclosed as **Appendix 4**.

H. Implementation Arrangements, Schedule & Grievance Redress Mechanism

38. National Capital Planning Board (NCRPB) will be the Executing Agency (EA) for the Project. The Hapur Nagar Parishad and HPDA would jointly act as implementing agency(IA). A separate independent unit in EAs office will constitute for the purpose of overall coordination and management of the project and it will be called as The Project Management Unit (PMU) will also implement the RP with assistance of Design & Supervision Consultants (DSC) & an experienced NGO/agency/institution, acting as Implementing Organisation (IO) who will shoulder the primary responsibility of the RP implementation. The PMU would ensure monitoring any changes to subproject design which may require re-evaluation of the need for and adequacy of the RP. If necessary, RP will be updated keeping changed design in view while entitlement principle remaining unchanged. The PMU will ensure resettlement budgets are delivered on time for timely RP implementation, prior to commencement of construction work. A brief Terms of Reference for implementing organisation/NGO is annexed in **Appendix 5**.
39. In addition, establishment of a High Powered Committee (HPC) to supervise pre-construction activities including implementation of RP under ADB assisted project is proposed. The HPC will consist of the following personnel:
- Divisional Commissioner – NCR Cell (U.P)
 - Executive officer Hapur Nagar Parishad – Hapur
 - Chairman – HPDA
 - Revenue Officer
 - NCRPB Representative
 - Representatives of the Affected Persons/Eminent person
40. A Grievance Redressal Committee (GRC) will be established in Hapur for timely and satisfactory completion of RP related activities and other requirements of the Resettlement Plan (RP) to facilitate satisfactory implementation of all ADB funded projects. The primary objective of creating GRC is to provide a mechanism in order to address and sort out all disputes related to implementation of resettlement plan, most importantly, to mediate conflict and disputes concerning compensation payments and cut down on lengthy litigation. The GRC is constituted as follows:
- Chairman, Hapur Nagar Parishad : Chairman
 - Vice- Chairman HPDA : Member
 - Social & Resettlement Expert of PMU : Member-Secretary
 - 2 Representative of affected persons : Member
 - Ward Member/Councilor : Member

I. Disbursement of Compensation and Resettlement Assistance to APs

41. The valuation of the structure will be done at the replacement value of the affected assets. The entitled APs will be given advance notice of the date, time and place of payment through public announcement. All the payment will be made in cheques payable to the entitled AP and his/her spouse. Photocopy of the cheques will be preserved by PMU as an evidence of transparent manner of payment. The payment of compensation will be monitored and verified by NGO/ Executing Agency as well as representatives of the affected families. All compensation and other assistances will be paid to the APs prior to commencement of civil works.

Table 10: Tentative Implementation Schedule

Sl. No.	RP Implementation Activities	Year 1				Year 2		
		Q 1	Q 2	Q 3	Q 4	Q 1	Q 2	Q 3
1.	Engaging NGO/Implementing Agency	■						
2.	Public consultation/Dissemination of information	■						
3.	Verification of AP with Census cut-off-date		■					
4.	Updating census data in respect of changed design		■	■				
5.	Finalization of entitled APs			■				
6.	Preparation of photo Identity Card of Entitled AP			■	■			
7.	Opening Bank Account (Joint A/c in the name of HOH & his spouse/next of kin)			■	■			
8.	Distribution of ID Card			■	■			
9.	Computation of Compensation/Assistance				■			
10.	Disbursement of payment of compensation				■			
11.	Disbursement of payment of other Assistance				■			
12.	Setting up of GRC	■						
13.	Grievance Redress Initiation	■						
14.	Preparation of Database of AP	■	■	■	■	■		
15.	Engaging External Monitor	■	■	■	■	■		

J. Resettlement Budget

42. The total estimated budget for implementation of Resettlement Plan (RP) including payment of compensation and assistance to the entitled AP, preparation of identity card, cost of resettlement operation and management for the Project through Implementing Agency and engaging Independent Monitor is INR Rs 2.1 Million. A break up of cost estimate is given in the following table

Table 11 : Tentative Budget

S. No	Item	Unit	Qty.	Unit Cost in Rs	Total cost in Million INR
A. Compensation for Structure- Replacement Cost					
1	Residential Structure(04 in Nos)	Sq. M	56.29	9,500	0.53
	Sub-Total of A				0.53
B. Resettlement Assistance					
1	Transfer grant for structure	04		5,000	0.02
2	Rental assistance for 3 months	04	3	3,000	0.03
3	Rehabilitation Assistance for Vulnerable	01		25,000	0.02
	Sub-Total of B				0.07
C. Support for RP Implementation					
1	Engaging NGO for RP Updating & Implementation	L/s		5 lakh	0.50
2	Social and Resettlement Team of PMU And EA including Logistics	L/s		5 lakh	0.50
3	Training	L/s		1lakh	0.01
4	Independent External Monitoring	L/s		3 lakh	0.30
	Sub-Total of C				1.31
	Total (A+B+C)				1.91
	Contingencies @ 10%				0.19
	Total Rs. in Million				2.10

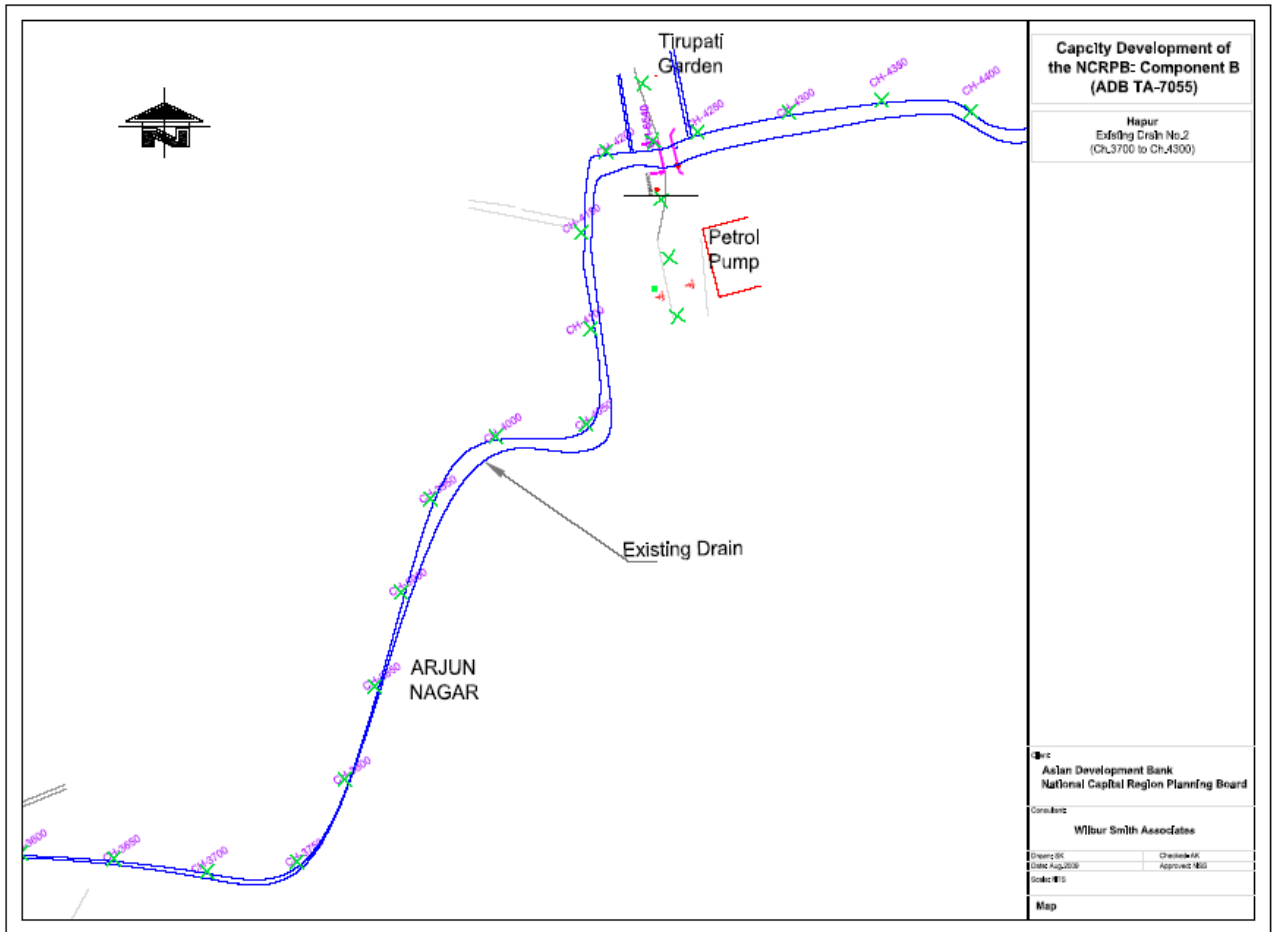
K. Training, Monitoring & Evaluation

43. The RP will have both internal and external monitoring. Internal Monitoring will be a regular activity for PMU, Social development & Resettlement specialist and will oversee the timely implementation of R&R activities.
44. An orientation and training in resettlement management will be provided under the Project to the NGO/agencies by the Social Development & Resettlement specialist at the PMU level. The training activities will focus on issues concerning - (i) principles and procedures of land acquisition; (ii) the policies and principles agreed under the ADB loan; (iii) public consultation and participation; (iv) entitlements and compensation disbursement mechanisms; (v) Grievance redressal and (vi) monitoring of resettlement operation.
45. The NGO/agency, assisting in preparation and implementation of a RP, will submit monthly progress report of RP implementation to the EA through the respective PMU. The PMU will conduct regular internal monitoring of resettlement implementation and prepare quarterly progress reports for submission to ADB. The reports will contain progress made in RP implementation with particular attention to compliance with the principles and entitlement matrix set out in the resettlement plan. The report will also document consultation activities conducted, provide summary of issues or problems identified and actions taken to resolve the issues, and provide summary of grievances or complaints lodged by households and actions taken to redress such complaints.

46. An independent agency/monitoring expert will be engaged by the PMU in agreement with ADB to undertake biannual external monitoring of the project implementation. This expert will submit its reports biannually directly to ADB. A brief Terms of Reference for External Monitor is annexed (**Appendix 6**).

Appendices

Appendix 1: Drain Number 2 - Sub Project Impact Area



Capacity Development of the NCRPB: Component B (ADB TA-7055)

Hapur Existing Drain No.2 (Ch.3700 to Ch.4300)

Asian Development Bank National Capital Region Planning Board

Consultant: Wilbur Smith Associates

Drawn: BK Date: Aug 2009
Checked: AK Approved: NSG

Scale: 1:10

Map

Appendix 2: List of Affected House Holds/Families

S. No.	Name of AP/ Head of Household	Status of Ownership of House	Type of loss with extent of loss
1	Dalchand	Owner	Pucca House/Partial
2	Ashok	Owner	Pucca House/Partial
3	Ratanlal	Owner	Pucca House/Partial
4	Mandeep Singh	Owner	Pucca House/Partial

Source: Census & Socio-economic survey, September, 2009

Appendix 3: Stakeholders' Participatory Consultation – Abstracts

S. No.	Place & Date	Participants	Issues discussed	Opinion & consensus about the Project
1.	Hapur, Arjun Nagar 16.9.2009	7 persons, including, local people, and the survey team	1. Details of project 2. Development of the area 3. Valuation of the Structure	The Project work should be completed within the shortest possible time as people face a lot of problems due to the absence of the proposed Infrastructure at present. People are willing to cooperate by all means to implement the project successfully and are willing to pay user charges if levied within their affordable means. The area is particularly affected due flood and water logging. The school going children and the old people suffer most. Proper care should be taken during implementation to mitigate the problem. They are anxious to know whether the project will reduce the flood problem.
2.	Hapur, Triputi Garden 19.09.09	persons including the APs, one woman member of AF, local shopkeepers ,Survey team	1. Details of project 2. Developme nt of the area 3. Valuation of the structure	The Project work should be completed within the shortest possible time as people face a lot of problems due to the absence of the proposed Infrastructure. People are willing to cooperate by all means to implement the project successfully and are willing to pay user charges if levied within their affordable means. The compensation for structure should be at market rate. With conviction, they showed the concern of proposed improvement measures which will reduce the propensity of: -Stinking smell -Water logging in the backyard -Seepage on the walls, resulting in -Lower house life -Badly painted house walls -A regular check on the walls for the safety of kids.
3.	Hapur, Hapur Nagar Parisad 25.09.09	8 Officials of Hapur Nagar Parisad	1. Details of project 2. Developme nt of the area. 3. Project Concept	Improvement in drainage system will provide better urban living condition. Flooding problem at the time of rainy season will reduce the frequent occurrences of diarrhea and other water borne diseases. The municipality welcomed the project.

Stakeholders' Participatory Consultation – Photographs



Appendix 4: Public Consultation and Disclosure Plan

Activity	Task	Timing (Date /Period)	No. of People	Agencies	Feedback/Issues/ Concerns Raised
Stakeholder Identification	Mapping of the project area	From February, 09 to Sept, 09	15 persons	TA Consultants – Technical, Environmental & Social Safeguard Specialists and HNP, HPDA	The project area was observed with a view to identify suitability of the sub project.
Project information Dissemination	Dissemination of information	From October, 08 to Sept, 09	10 officials of HPDA/HNP attended the workshops. Periodic discussion with HPDA and HNP officials with TA team was taken up.	TA Consultants – Technical, Environmental & Social Safeguard Specialists and HNP, HPDA	-Different Tyer of workshops were organized by the NCRPB with the support of TA Consultants.
Consultative meetings with APs during Scoping Phase	Discuss potential impacts of the project	August and September 2009	25 persons	TA Consultants – Technical, Environmental & Social Safeguard Specialists	Issues related to impact of the project: Local people were apprehensive of the household connection to the sewerage line. Adequate compensation for loss of land Job/labour opportunity during construction/implementation of the project
Project information Dissemination	Informal Meetings with affected persons (APs)	-	All the APs & other important persons of the locality	TA Consultants – Technical, Environmental & Social Safeguard Specialists	-
Socio-Economic Survey	Collect socio-economic information of AP's and	12-20 Sept, 2009	18	TA Consultant & Social Survey team	Information and census data collected on :

Activity	Task	Timing (Date /Period)	No. of People	Agencies	Feedback/Issues/ Concerns Raised
	their perception on the project				No. of affected families Socio-economic profile of the AFs Awareness created about project concept & resettlement impact due to LA
Consultative meetings on Resettlement Mitigation Measures	Discuss entitlements, compensation rates, grievance redress Mechanisms	-	-	IA&EA(HNP/HPDA and NCRPB)	-
Publicize the resettlement plan (RP) (Proposed date)	Distribute Leaflets or Booklets in local language	After loan negotiation	-	IA&EA(HNP/HPDA and NCRPB)	-
Full Disclosure of the RP to Affected families (Proposed date)	Distribute short RP in local language to APs	After loan negotiation	-	IA&EA(HNP/HPDA and NCRPB)	-
Web Disclosure of the short RP (Proposed date)	Short RP posted on ADB and/or EA website	After loan negotiation	-	IA&EA(HNP/HPDA and NCRPB)	-
Consultative Meetings during DMS	Face to Face meetings with APs	After loan negotiation	-	IA&EA(HNP/HPDA and NCRPB)	-
Disclosure after Detailed Measurement Survey (DMS)	Disclose updated short RP to APs	After loan negotiation	-	IA&EA(HNP/HPDA and NCRPB)	-
Web Disclosure of the Updated short RP (subject to change of technical design)	Updated short RP posted on ADB and/or EA website	After loan negotiation	-	IA&EA(HNP/HPDA and NCRPB)	-

Appendix 5: Terms of Reference for RP Implementing Agency / NGO

Project Description

On Government of India's request, Asian Development Bank (ADB) has formulated the technical assistance (TA) to enhance the capacities of National Capital Region Planning Board and its associated implementing agencies. The TA has been designed in three components: Component A relates to improving the business processes in NCRPB; Component B relates to improving the capacity of the implementing agencies in project identification, feasibility studies and preparing detailed engineering design; and Component C relates to urban planning and other activities. In keeping with ADB's Policy on Involuntary Resettlement, this Short Resettlement Plan (SRP) has been prepared for the Subproject: Drainage component of Hapur town.

Due to unplanned growth of population, the major drain flowing through the town have been encroached upon, thus the rain water overflows on the roads causing flooding of residential colonies located on the sides of natural drains. Due to improper maintenance of the drains and encroachment on ROW of the drains, their water carrying capacities have been reduced considerably and they have also become places of dumping garbage and discharging sewage by people living near by. The reduction in channel section, due to dumping of garbage and silting has reduced the discharge capacity on down stream side. Further, in absence of regular cleaning and desilting, the drainage channel has been filled up to a considerable depth rendering acute flooding problem of adjoining areas.

PMU will engage experienced non-government organizations (NGOs) or institution to assist in the implementation of the RP, particularly to conduct public consultation program and to develop public awareness and action programs to facilitate implementation of the subproject.

Scope of Work – General

To design and produce information materials such as project brochures, pamphlets, posters, and billboards to be used in the information and awareness campaign in the project area, particularly to create awareness about improvement of drainage and environmental protection.

To assist the R&R Expert, PMU, IA in implementation of RP provisions with special attention on timely payment disbursement to the entitled APs prior to commencement of civil construction work.

Specific Tasks

- Information campaign on the proposed project and Resettlement Plan for the project affected persons.
- Prepare and update AP database, if required, with reference to changed design and census cut-off-date. Create computerized updated database of the entitled APs.

- Assist APs to open bank account, jointly with their spouses, or next of kin, prior to payment disbursement.
- Assist PIU in verification and updating of record of rights of the title holders.
- Prepare photo identity cards of the entitled APs.
- Assist the APs to resolve their grievances, specially regarding payment of compensation, through interaction with the GRC established for the purpose of sub-project.
- Participate in and organize community consultation with the various groups of stakeholders for smooth progress of project implementation.
- Contribute towards capacity building of the community based organizations, specially in the land fill site where the unemployed youth can be actively engaged in the project.
- Formation of groups that can maintain and protect the improved project site.
- Prepare quarterly reports on work completed and progress made. Provide specific examples of community involvements in the process and local capacity building to deal with the issues.

Qualifications

The NGOs must have at least 5 years of work experience in the above activities with good track records. Local NGOs in the project area with good credentials will be preferred. If local experienced NGOs are not available any reputed institute may be engaged after proper orientation and RP implementation training is provided to the selected staff of the agency.

Time Frame

The NGO/Implementing Agency will be engaged for a period of 18 months and the agency will commence their work from the beginning of RP implementation. A budgetary allocation has been provided in the Tentative Budget for RP implementation.

Appendix 6: TOR for Independent External Monitor for Monitoring & Evaluation of RP implementation

Project Description

On Government of India's request, Asian Development Bank (ADB) has formulated the technical assistance (TA) to enhance the capacities of National Capital Region Planning Board and its associated implementing agencies. The TA has been designed in three components: Component A relates to improving the business processes in NCRPB; Component B relates to improving the capacity of the implementing agencies in project identification, feasibility studies and preparing detailed engineering design; and Component C relates to urban planning and other activities.

In keeping with ADB's Policy on Involuntary Resettlement, this Short Resettlement Plan (SRP) has been prepared for the Subproject: Drainage component of Hapur town. Due to unplanned growth of population, the major drain flowing through the town have been encroached upon, thus the rain water overflows on the roads causing flooding of residential colonies located on the sides of natural drains. Due to improper maintenance of the drains and encroachment on ROW of the drains, their water carrying capacities have been reduced considerably and they have also become places of dumping garbage and discharging sewage by people living near by. The reduction in channel section, due to dumping of garbage and silting has reduced the discharge capacity on down stream side. Further, in absence of regular cleaning and desilting, the drainage channel has been filled up to a considerable depth rendering acute flooding problem of adjoining areas.

Scope of Work

The Independent External Monitor will be supervising and monitoring RP implementation activities and will work in coordination with R&R Expert, PMU. The key tasks of the External Monitor will be to as follows:

- To review and verify the progress in resettlement implementation as outlined in the Resettlement Plan (RP).
- To assess whether resettlement objectives, particularly living standard of the Affected Persons (APs) has been restored or enhanced.
- To assess resettlement efficiency, effectiveness, impact and sustainability, drawing both on policies and practices and to suggest any corrective measures, if necessary.

Specific Tasks and Methodology

- Review pre-project baseline data on income and expenditure, occupational and livelihood patterns, arrangements for use of common property, social organization, leadership patterns, community organizations and cultural parameters.
- Identify an appropriate set of indicators for gathering and analyzing information on resettlement impacts; the indicators shall include but not limited to issues like disbursement of payment of entitlement packages and level of satisfaction by the APs

in post-Project period.

- Review results of internal monitoring and verify claims through random checking at the field level to assess whether resettlement objectives have been generally met. Involve the APs, host population, and community groups in assessing the impact of resettlement for monitoring and evaluation purposes
- Conduct both individual and community level impact analysis through the use of formal and informal surveys, key informant interviews, focus group discussions, community public meetings, and in-depth case studies of APs and other stakeholders from various social classes to assess the impact of resettlement.
- Identify the strengths and weaknesses of basic resettlement objectives and approaches, implementation strategies, including institutional issues, and provide suggestions for improvements in future resettlement policy making and planning.

Time Frame and Reporting

The External Monitor will be engaged for a period of 15 months about 3 months after commencement of RP implementation so that some activities will be in progress. The Monitor will submit quarterly report to the IA, EA and to ADB concurrently each completion of each quarter of the year.

Budget

The budgetary allocation has been provided in the Tentative Budget prepared for RP implementation. The logistics for supervising RP activities may be provided by EA.

1.1. CODE LIST FOR HOUSEHOLD PARTICULARS

B. Column 2 Relationship with the Head of the Household/ Owner of the Shop/ Business/ Enterprise

01 Self
04 Daughter / Son-in-law
07 Other Relatives
15 Employee

02 Spouse
 05 Brother / Sister
 08 Tenant
 99 Others

03 Son / Daughter-in-law
 06 Father / Mother
 09 Business Patner

C. Column 3 Sex

01 Male

02 Female

D. Column 5 Marital status

01 Married
04 Separated without Court Order
99 Others (Specify)

02 Unmarried
 05 Widow / Widower

03 Divorced
 06 Deserted

E. Column 6 Education

01 Illiterate
04 Middle Educated (upto Class 8)
07 Graduate & Above

02 Informally Literate
 05 Secondary Educated (upto Class 10)
 08 Diploma

03 Primary Educated (upto Class 4)
 06 Intermediate Educated (upto Class 12)
 99 Others

F. Column 7 Occupation

01 Cultivation

04 Government Service
07 Small Entrepreneur

99 Others (Specify)

02 Allied agricultural activities (e.g., dairy, animal husbandry/Fisherman)
 05 Private Service in Organised Sector
 08 Trade & Business

03 Labour (daily waged)

 06 Private Service in Un-organised Sector
 09 Professional (Doctor, Engineer, Mechanic etc.)

4.0 HOUSE HOLD PARTICULARS/ OWNER OF BUSINESS & EMPLOYEE DETAILS

	1	2	3	4	5	6	1. 7			8		9	
Sl.	Name of the members of the family/ Business Enterprise	Relationship with HOH/ Owner	Sex	Age	Marital status	Education	2. Occupation			Monthly Income from Occupations		Skill Possessed by adult members	
							Main	Subsidiary		Main	Subsidiary		
								1	2				3
		Code	Code	Yrs.	Code	Code	Code	Code	Code	Code	Rs.	Rs.	
1.													
2.													
3.													
4.													
5.													
6.													
7.													
8.													
9.													
10.													
11.													
12.													

Please see Clarifications & the Codes for different Columns in the previous Page.

6.0 AGRICULTURAL LAND USAGE (OF AREA TO BE ACQUIRED)

6.1 LAND UTILIZATION

Kindly give details of your landholdings

Sl. No.	H. PARTICULARS	Unit (in acres / local unit)		Remarks
		Owned	Acquired	
A.	I. OWN LAND			
1.	J. CULTIVATED LAND			
2.	K. FALLOW LAND			

NB: If unit of area is in local unit state the conversion rate in acre/ Hectare

7.0 DETAILS OF TREES, ORCHARDS AND BUSHES

	Trees Name	No.	Domestic	Sale	Remarks
1.					
2.					
3.					
4.					
5.					
	Orchards Name	No.	Domestic	Sale	Remarks
1.					
2.					
3.					
4.					
5.					
	Bushes Name	No.	Domestic	Sale	Remarks
1.					
2.					
3.					
4.					
5.					

8.0 HOUSEHOLD EXPENDITURE

L. Items expenses of	M. Consumption per month	1.1. Expenditure (Rs.)
1. N. FOODING	O.	P.
2. Clothing		
3. Fuel & Firewood		
4. Health, Education & Misc.		
5. Others (Specify)		
Q. TOTAL		

9.0 HOUSEHOLD INCOME

Kindly give details of your income from various sources during the last one year.

R. Source	1.1. Annual Income (Rs.)
1. Cultivation	
2. S. ALLIED AGRICULTURE/SHEEP FARMING/ETC	
3. Small Entrepreneurships	
4. Trade & Business	
5. Profession	
6. Salary / Commission from Service	
7. Rent/ Lease (of agri. Land / equipment / animals)	
8. Labour	
9. Any Others (Specify)	
T. TOTAL	

Note: Respondent may not be in a position to give yearly income. In that case ask how many days in a month he works and how much is his earnings per day.

10.0 ASSET HOLDINGS

Sl.	Type of Assets	UNITS No.	Remarks
10.1.	U. Durable Assets		
A.	Gold and Silver Jewellery		
B.	Motor Cycle/ Scooter/ Car		
C.	Mobile Phone / Electronic Gadgets		
D.	Others (Specify)		
	V.		
10.2.	W. Livestock		
A.	Cow / Buffalo		
B.	Goat / Sheep		
C.	Poultry Birds		
D.	Others (Specify)		
10.3.	AGRICULTURAL ASSETS		
A.	Tractor and Threshers		
B.	Power Tiller		
C.	Others (Specify)		

11.0 COVERAGE UNDER GOVERNMENT DEVELOPMENT SCHEMES

11.1 Have you availed of any benefit under any Government schemes?

:

01 Yes

02 No

11.2 If yes, kindly give us the following details

	X. MENTION NAME OF THE SCHEME	Kind of help
1.		
2.		
3.		
4.		
5.		

01 Loan

02 Training

99 Others, Specify

11.3 If Loan (01), kindly indicate the amount

:

Rs.

11.4 If Training (02), kindly indicate the type

:

11.5 When did you receive the help?

:

11.6 After availing this scheme did your annual income increase?

:

01 Yes

02 No

11.7 If yes, how much?

:

Rs.

11.8 If No, Why?

:

11.9 Are you still continuing with the activity?

:

01 Yes

02 No

11.10 If No, why?

:

12.0 REMARKS, IF ANY

Appendix 8: Involuntary Resettlement Categorization

(TA No. 7055-IND)-Capacity Development of the National Capital Region Planning Board (NCRPB) – Component B – Sub Project Drainage System in Hapur City

INVOLUNTARY RESETTLEMENT CATEGORIZATION

A. Introduction

Projects¹ are assigned an involuntary resettlement category depending on the *significance* of the probable involuntary resettlement impacts. “Significant” means 200 or more people will experience major impacts. Major impacts are (i) being physically displaced from housing, or (ii) losing 10% or more of productive assets or both.

Initial screening for involuntary resettlement is to be conducted as early as possible in the project cycle, at the project concept stage where feasible, and no later than project or program preparatory technical assistance, project preparatory note fact-finding, or due diligence.

B. Instructions

1. (i) The checklist and categorization form is to be completed by the Project Team Leader (PTL) with the assistance of a Resettlement Specialist or Social Development Specialist in the Operations Department. This form, endorsed by the Sector Division Director, is then submitted by the PTL to the Environment and Social Safeguard Division (RSES) for endorsement by RSES Director, and for approval by the Chief Compliance Officer (CCO) of the Regional and Sustainable Development Department (RSDD).

(ii) The involuntary resettlement categorization of a project is a continuing process. If there is a change in a project that may result in category change, the Sector Division should resubmit a categorization form for endorsement by RSES Director and approval by the CCO. The previous checklist should be attached to the revised checklist for reference.

¹ ADB projects include (i) public sector project loans, program loans, sector loans, sector development program loans, financial intermediation loans, private sector loans or equity investments, and guarantees for funding of specific projects or subprojects; (ii) all project components regardless of the source of financing.

D. Screening Questions for Resettlement Categorization

Probable Involuntary Resettlement Effects*	Yes	No	Not Known	Possible	Remarks
Will the project include any physical construction work?	√				
Does the project include upgrading or rehabilitation of existing physical facilities?	√				
Are any project effects likely lead to loss of housing, other assets, resource use or incomes/livelihoods?	√				
Is land acquisition likely to be necessary?		√			
Is the site for land acquisition known?					Not Applicable
Is the ownership status and current usage of the land known?					Not Applicable
Will easements be utilized within an existing Right of Way?				√	
Are there any non-titled people who live or earn their livelihood at the site or within the Right of Way?	√				The width of the existing drain number 2 restricts between chainage 3750 mts and 3900 mts. The most critical area is between the chainage 3750 mts and 3900 mts. In between the chainage (3750 mts and 3900 mts) the available width of the drain varies between 1.72 mts to 1.8 mts. However with a requirement of at-least a width of 2 m. as per engineering feasibility, it has been found that between chainage 3750 and 3900 the land for the drainage has been encroached partially by the side wall of the pucca houses / walls impacting upon 04 Project Affected Households/APs.Of the total 4 APs one AP belong to vulnerable category.The maiden vulnerable household belong to Schedule Caste. There are no other likely impacts for displacement due to construction/improvement of drainage system of Hapur.
Will there be loss of housing?	√				
Will there be loss of agricultural plots?		√			
Will there be losses of crops, trees, and fixed assets?		√			
Will there be loss of businesses or enterprises?		√			
Will there be loss of incomes and livelihoods?		√			
Will people lose access to facilities, services, or natural resources?		√			
Will any social or economic activities be affected by land use-related changes?		√			
If involuntary resettlement impacts are expected:					

• Are local laws and regulations compatible with ADB's Involuntary Resettlement policy?		√			To some extent
• Will coordination between government agencies be required to deal with land acquisition?		√			
• Are there sufficient skilled staff in the Executing Agency for resettlement planning and implementation?		√			Capacity building of the existing staff and recruitment of new staff is required.
• Are training and capacity-building interventions required prior to resettlement planning and implementation?	√				Before implementation capacity building through training is essential.

*Whenever possible, consider also any future subprojects or investments.

Information on Affected Persons:

Any estimate of the likely number of households that will be affected by the Project?

No Yes If yes, approximately how many? There will be 04 affected Households/APs.

Are any of them poor, female-heads of households, or vulnerable to poverty risks?

No Yes If yes, please briefly describe their situation:

Are any APs from indigenous or ethnic minority groups? No Yes If yes, please explain?

Additional Information Requirements for Private Sector projects:

Resettlement and land acquisition completed PSOD is lending to a Financial Intermediary

Resettlement to be completed The project is an Equity Investment

Project entails risk by association (e.g associated Risk Guarantee facilities are part of the project but not funded describe _____ by the proponent) The project is a Partial Credit /Political Others, please

E. Involuntary Resettlement Category New Re-categorization

After reviewing the answers above, the Project Team Leader and Social Development/ Resettlement Specialist agree subject to confirmation, that the project:

1. Project Categorization and Resettlement Planning Requirements

- Category A, Significant IR impact, a full Resettlement Plan is required.
- Category B, Non-significant IR impact, a short Resettlement Plan is required.
- Category C, No IR impact, no resettlement report is required.
- Additional information is needed for categorization and is to be gathered by the Project Team Leader. In the interim, the project is classified as:
 - Category A/B
 - Category B/C
 - Social Development/ Resettlement Specialist to participate in Fact Finding

- Consultant support is required to prepare Resettlement Plan/Resettlement Framework (RP/RF), therefore the TOR for a Social Development/ Resettlement Specialist should be included in TA Report

2. Additional Requirements for Sector, Sector Development Program/Project Loans, Emergency Loans and Hybrid Loans

- Resettlement Framework
- Core Subproject Resettlement Plans

Note:

A draft RP/RF disclosed to APs and endorsed by the Executing Agency is required before Management Review Meeting (MRM).

A summary RP/RF should be included as a core appendix in the draft RRP for MRM.

A satisfactory RF/RP is required before Appraisal.

2. Indigenous Peoples Impact Categorization Form

B. Identification of indigenous peoples in project area

Impact on indigenous peoples (IPs)/ ethnic minority(EM)	Not known	Yes	No	Remarks or identified problems, if any
Are there IPs or EM groups present in project locations?			✓	
Do they maintain distinctive customs or economic activities that may make them vulnerable to hardship?			✓	
Will the project restrict their economic and social activity and make them particularly vulnerable in the context of project?			✓	
Will the project change their socioeconomic and cultural integrity?			✓	
Will the project disrupt their community life?			✓	
Will the project positively affect their health, education, livelihood or social security status?			✓	
Will the project negatively affect their health, education, livelihood or social security status?			✓	
Will the project alter or undermine the recognition of their knowledge, preclude customary behaviors or undermine customary institutions?			✓	
In case no disruption of indigenous community life as a whole, will there be loss of housing, strip of land, crops, trees and other fixed assets owned or controlled by individual indigenous households?			✓	

C. Anticipated project impacts on indigenous peoples

Project activity and output	Anticipated positive effect	Anticipated negative effect
Not applicable		

D. Decision on Categorization

After reviewing the answer above, the Mission Leader and Social Development Specialist agree that the project:

- Should be categorized as an A project, an Indigenous Peoples Development Plan (IPDP) is required or, for sector/FI projects, an Indigenous Peoples Development Framework (IPDF) is required
- Should be categorized as a B project, a specific action favorable to indigenous peoples/ethnic minority is required and addressed through a specific provision in RRP and in related plans such as a Resettlement Action Plan, a Gender Action Plan or a general Community Participatory Plan
- Should be categorized as a C project, no IPDP/IPDF or specific action required

Project Team Comments:

The people of Hapur Municipal Area as well as Hapur Development Authority will be the primary beneficiaries of the sub project who will enjoy the benefit of a improved drainage and disposal system as proposed in the project. The benefit will accrue to a targeted population of nearly 278143 by 2011 with a projected population of 0.364 million in 2021, 0.478 million in 2031 and 0.628 million in 2041. At present 30 percent of the Hapur Nagar Parisad area is being covered by sewerage system. Open surface drains serve both as sewage and storm water runoff. Untreated sewage is finally discharged into river open areas or natural water bodies, thereby polluting the environment. Households will be connected to the proper drainage system. Better urban services will facilitate overall socio-economic development. Growth of the city as a major educational and market centre city will provide better job opportunities for the local people, particularly the low income families.

The width of the existing drain number 2 restricts between chainage 3750 mts and 3900 mts. The most critical area is between the chainage 3750 mts and 3900 mts. In between the chainage (3750 mts and 3900 mts) the available width of the drain varies between 1.72 mts to 1.8 mts. However with a requirement of at-least a width of 2 m. as per engineering feasibility, it has been found that between chainage 3750 and 3900 the land for the drainage has been encroached partially by the side wall of the pucca houses / walls impacting upon 04 Project Affected Households/APs. Of the total 4 APs one AP belong to vulnerable category. The maiden vulnerable household belong to Schedule Caste.

There are no other likely impacts for displacement due to construction/improvement of drainage system of Hapur. Although the likely affected asset owners were apprehensive of their likely loss but the advantage of a proper drainage development system also appealed to them. The likely APs are ready to cooperate during the project implementation.

If there is any change in sub project design the proposed RP needs to be updated before implementation.

RSES Comments:


Arup Khan
Social Development &
Resettlement Specialist-ADB
TA No. 7055-IND

Narendra Singh Shekhawat
TA Team Leader- TA No.
7055-IND

Appendix 9: Summary Poverty Reduction and Social Strategy

Country/Project Title: (TA No. 7055-IND)-Capacity Development of the National Capital Region Planning Board (NCRPB) – Component B	
Sub-Project: Drainage for Hapur : Hapur City	
I. POVERTY ANALYSIS AND STRATEGY	
A. Linkages to the National Poverty Reduction Strategy and Country Partnership Strategy	
<p>The Program is primarily designed to improve the urban infrastructure and services in the Municipal Area of Hapur and partly the area of HPDA. Hapur is an important commercial centre. It is an important town in NCR area, which is being developed to decongest National Capital Delhi by improving infrastructure in NCR towns with the aim of shifting some of the offices and establishments of Government of India. Potential growth in NCR will reduce stress over existing urban services. There are four major drains flowing through the master plan area of the Hapur viz Drain No1, Drain No 2 (Choya nallah), Drain No 3 (Circular road drain) and Drain No 4 (Delhi Garh road drain). Out of these, three drains (Drain No 2, 3 & 4) flow through the municipal boundary of the town. Further the Drain no 4 flows into the Drain No 2. In absence of the sewerage system in most part of the city, the drains act as carrier of waste water also. All the drains ultimately flow into the Kali river, which is at the south of the town. Consequently the river is also getting polluted by the disposal of the drain. Improvement in health status for all is part of the national poverty reduction strategy. The project, when implemented, will reduce the risk of diseases caused by the defecation by open drain and continuously flowing untreated sewage through the drainage system, especially among the low income group families. Modern and planned development of Hapur is necessary in view of the geographical, historical, commercial industrial importance and planned development of NCR. Besides, better urban services will lead to a better urban life, thus fulfilling the objective of decongestion of Delhi and planned healthy urban living in NCR towns. The general hygienic condition of the city will improve which will have an indirect impact on the poor.</p>	
B. Poverty Analysis	Targeting Classification: General intervention (GI)
1. Key Issues	
<p>The National Human Development Report, 2001 prepared by Planning Commission of India presents poverty scenario at national and state level during the period 1999-2000 based on various parameters. By Head Count Ratio the proportion of poor for India as a whole was 26.1%, while rural areas recorded 27.1% against 23.6% in urban areas. The estimates for 2000-01 on HDI shows that UP's rank 12 amongst the States in India. UP's rank shows some improvement between 1991 and 2001. The Human Poverty Index indicates human deprivation in terms of development in economic, educational and health dimension. Uttar Pradesh belongs to the category of high poverty States. In 1993-94 the State ranked 11th out of the 14 major States of India in poverty levels with 36 Per Cent of persons below the poverty line. One striking feature of poverty in the State has been that urban poverty ratios have remained above the rural poverty ratio. The official estimate shows that poverty may have declined by about 10 Per Cent points in UP between 1993-94 and 1999-00.</p> <p>Per capita net state domestic product in Uttar Pradesh in current prices doubled from Rs. 5,066 in 1993/94 to Rs. 10,289 in 2002/03. NSS UP data show that the pattern of growth between 1993/94 and 2002/03 was pro-poor, meaning that per capita expenditures of the poorest one-tenth of the population increased faster (by 109 percent in nominal terms) than that of the richest one-tenth (which increased by 62 percent in nominal terms). The head count poverty rate for UP fell from 40.9 percent to 29.2 percent between 1993/94 and 2002/03. In absolute terms, the absolute number of poor in UP declined from 59.3 million in 1993/ 94 to 48.8 million in 2002/03. The poverty rate in rural areas of UP fell from 42.3 percent to 28.5 percent, while that in urban areas declined only slightly from 35.1 to 32.3 percent.</p> <p>In UP, in 2002/03, 57 percent of all dwellings were of pucca construction material, up from 42 percent in 1999/2000. Improvements in housing structure are registered both in urban and rural areas and across all income groups. Hand-pumps increased in importance as the most common drinking water supply source in UP, with about three-quarters of the population in 2002/03 reporting this as their main water source. There have been virtually no improvements in access to sanitation in UP over the same period mentioned above. Some 71 percent of UP's population (85 in rural and 19 in urban) do not have access to latrines of any type.</p> <p>Although direct poverty alleviation is not envisaged the project will provide an essential urban service to improve considerably the urban environment and public health. Besides, unskilled labour available in the locality will be engaged</p>	

during implementation of the project providing employment opportunity to the poor families.

2. Design Features

There is no specific pro poor design for this project. But as mentioned above the poor /underemployed families stand to gain from implementation of the sub project.

C. Poverty Impact Analysis for Policy-Based Lending

Not Applicable

II. SOCIAL ANALYSIS AND STRATEGY

A. Findings of Social Analysis

Key Issues

The people of Hapur Municipal Area as well as Hapur Development Authority will be the primary beneficiaries of the sub project who will enjoy the benefit of a improved drainage and disposal system as proposed in the project. The benefit will accrue to a targeted population of nearly 278143 by 2011 with a projected population of 0.364 million in 2021, 0.478 million in 2031 and 0.628 million in 2041. At present 30 percent of the Hapur Nagar Parisad area is being covered by sewerage system. Open surface drains serve both as sewage and storm water runoff. Untreated sewage is finally discharged into river open areas or natural water bodies, thereby polluting the environment. Households will be connected to the proper drainage system. Better urban services will facilitate overall socio-economic development. Growth of the city as a major educational and market centre city will provide better job opportunities for the local people, particularly the low income families.

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There are no other likely impacts for displacement due to construction/improvement of drainage system of Hapur. Although the likely affected asset owners were apprehensive of their likely loss but the advantage of a proper drainage development system also appealed to them. The likely APs are ready to cooperate during the project implementation.

B. Consultation and Participation

1. In the course of social assessment informal participatory discussion was held with the project beneficiaries with the help of structured questionnaires. All the persons consulted expressed satisfaction regarding proposed sewerage system. Separate focus group discussions were held with the residents around the sites. These discussion and consultations were held with a view to share information and to obtain people's opinion regarding a new system of sewerage collection & disposal.

2. What level of consultation and participation (C&P) is envisaged during the project implementation and monitoring?
 Information sharing Consultation Collaborative decision making Empowerment

3. Was a C&P plan prepared? Yes No

To make the project effective public awareness & participation are essential so that individual houses are connected to the road side sewer chambers. It is envisaged that after the sub project is approved, the details of the project design and requirement will be disclosed to the people before commencement of implementation through community consultation.

C. Gender and Development

1. Key Issues

The sub-project will not cause any specific gender issue and is neither focused particularly on women. However, execution of project will have indirect positive impact on women's health. The overall improvement in general hygiene and a clean urban environment are envisaged outcome of the proposed drainage improvement system. Diseases related to untreated sewerage disposed into the natural water bodies and drains will also be reduced substantially. As a result, impact of a general healthy life will be manifested among average urban household. The women will be a part of that healthy family. The women among the slum settlements have also responded positively to the project. According to them the improved system will facilitate a clean environment and risk of diseases will be minimized which will enable them utilize their time and leisure more effectively.

2. **Key Actions.** Measures included in the design to promote gender equality and women’s empowerment—access to and use of relevant services, resources, assets, or opportunities and participation in decision-making process:

Gender plan Other actions/measures No action/measure

III.SOCIAL SAFEGUARD ISSUES AND OTHER SOCIAL RISKS

Issue	Significant /Limited/ No Impact	Strategy to Address Issue	Plan or Other Measures Included in Design
Involuntary Resettlement	Limited	The width of the existing drain number 2 restricts between chainage 3750 mts and 3900 mts. The most critical area is between the chainage 3750 mts and 3900 mts. In between the chainage (3750 mts and 3900 mts) the available width of the drain varies between 1.72 mts to 1.8 mts. However with a requirement of at-least a width of 2 m. as per engineering feasibility, it has been found that between chainage 3750 and 3900 the land for the drainage has been encroached partially by the side wall of the pucca houses / walls impacting upon 04 Project Affected Households/APs.Of the total 4 APs one AP belong to vulnerable category.The maiden vulnerable household belong to Schedule Caste. There are no other likely impacts for displacement due to construction/improvement of drainage system of Hapur.	<input type="checkbox"/> Full Plan <input checked="" type="checkbox"/> Short Plan <input checked="" type="checkbox"/> Resettlement Framework <input type="checkbox"/> No Action
Indigenous Peoples	No impact	There are no indigenous people residing in the project area that will either be required for acquisition or will be displaced.	<input type="checkbox"/> Plan <input type="checkbox"/> Other Action <input type="checkbox"/> Indigenous Peoples Framework <input checked="" type="checkbox"/> No Action
Labor <input checked="" type="checkbox"/> Employment opportunities <input checked="" type="checkbox"/> Labor retrenchment <input type="checkbox"/> Core labor standards	Limited No impact No impact	There will be opportunity of employment generation during construction of the project component. No loss of job or other form waged labor is envisaged.	<input type="checkbox"/> Plan <input type="checkbox"/> Other Action <input checked="" type="checkbox"/> No Action
Affordability	No impact	No user fees/tax exists as of today. Awareness campaign and public consultation may be needed to encourage people to take house connections to the road side sewer chambers.	<input type="checkbox"/> Action <input checked="" type="checkbox"/> No Action
Other Risks and/or Vulnerabilities <input type="checkbox"/> HIV/AIDS <input type="checkbox"/> Human trafficking <input checked="" type="checkbox"/> Others(conflict, political instability, etc), please specify	No impact No impact No impact		<input type="checkbox"/> Plan <input checked="" type="checkbox"/> Other Action <input type="checkbox"/> No Action

IV. MONITORING AND EVALUATION

Are social indicators included in the design and monitoring framework to facilitate monitoring of social development activities and/or social impacts during project implementation? Yes No

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